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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT APPLICATION OF: Chang et al. OUR FILE NO: 78114
10-371 US
SERIAL NUMBER: 10/082,778 GROUP: 2874
FILED: 02/25/2002 EXAMINER: Unassigned
TITLE: OPTICAL CIRCULATOR
CONFIRMATION NO: 4429

Information Disclosure Statement

Mail Stop Non-Fee Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

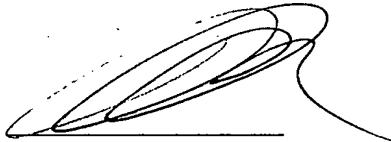
Transmitted herewith is an Information Disclosure Statement (Form PTO-1449) in the above-captioned application with references.

Certification

- _____ This Information Disclosure Statement is submitted within three months of:
- (i) the filing date of the above-identified U.S. National Patent application, or
 - (ii) the date of entry into the U.S. National Stage of the above-identified International Application, or
 - (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies.
- X _____ This Information Disclosure Statement is submitted prior to the mailing date of the first Office Action on the merits received by Applicant in the above-identified application.
- _____ This Information Disclosure Statement is submitted after three months from
- (i) the filing date of the above-identified U.S. National Patent application, or
 - (ii) after three months from entry into the U.S. National Stage of the above-identified International Application; or
 - (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies; and after the mailing date of the first Office Action on the merits of the above-identified application, but prior to issuance of the earlier of any Final Action or Notice of Allowance sent in such application. The certification under 37 C.F.R. § 1.97(e) is submitted separately or below, or the fee required under 37 C.F.R. § 1.97(c) and § 1.17(p) is submitted herewith.
- _____ This Information Disclosure Statement is submitted after the earlier of the mailing date of a final rejection or Notice of Allowance sent in this application but before payment of the Issue Fee. The certification required under 37 C.F.R. § 1.97(e) is submitted separately or below. A petition to the Commissioner and the appropriate fee pursuant to § 1.17(i) (1) are submitted herewith.

- _____ A certification under 37 C.F.R §1.97 is submitted herewith separately from this paper.
- _____ It is hereby certified that each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- _____ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this statement.

Respectfully submitted,



Charles E. Wands
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NOV 24 2003

Date: _____

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Form PTO 1449 U.S. Department of Commerce Patent and Trademark Office Information Disclosure Statement by Applicant	ATTY. DOCKET NUMBER: 78114 (10-371 US)	SERIAL NUMBER: 10/082,778
	APPLICANT: CHANG ET AL	
	FILING DATE: 02/25/2002	GROUP: 2874

U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILED APP
	5,909,310	Jun 1, 1999	Li et al.	G02B	5/30	
	5,930,039	Jul 27, 1999	Li et al.	G02B	5/30	

Foreign Patent Documents

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)

		"An Automatic 40-Wavelength Channelized Equalizer" By C.R. Doerr et al., IEEE Photonics Technology Letters, Volume 12, Number 9, September 2000
EXAMINER		DATE CONSIDERED
<i>EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP 609; draw a line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant</i>		